

DIRECTIVE

WORKFORCE INVESTMENT ACT

Number: WIAD01-12

Date: March 11, 2002
69/45:jr:va:4836

TO: WORKFORCE DEVELOPMENT COMMUNITY

SUBJECT: REGIONAL AND LOCAL INCENTIVE AWARDS

EXECUTIVE SUMMARY:

Purpose:

The purpose of this directive is to publish the California Workforce Investment Board's policy and procedures for awarding incentive grants for regional collaboration and local coordination.

Scope:

This directive applies to all Local Workforce Investment Boards (LWIB).

Effective Date:

This directive is effective on the date of its issuance.

REFERENCES:

- Workforce Investment Act, Section 134(a)(2)(B)(iii)
- Title 20 of the Code of Federal Regulations (CFR) Section 666.400

STATE-IMPOSED REQUIREMENTS:

This directive transmits State Board policy, which is indicated in ***bold, italic type***.

FILING INSTRUCTIONS:

This directive finalizes Draft Directive WIADD-25, issued for comment on December 18, 2001. Retain this directive until further notice.

BACKGROUND:

Under the Workforce Investment Act (WIA), states and local workforce investment boards have increased authority and flexibility to design and implement workforce investment strategies and innovative programs that meet local and regional needs. States are required to reserve funds for incentive grants to local areas for regional collaboration among local boards, and local coordination of WIA activities [WIA Section 134(a)(2)(B)(iii)].

To assist in the development of a State incentive policy, the State Board convened a workgroup of representatives from LWIBs, the Chancellor's Office, California Community Colleges, and the State Department of Education. The workgroup met in

Sacramento on May 10, 2001, to discuss policy implications, options and recommendations relative to:

- Exemplary performance incentives awards,
- Incentive awards for regional collaboration and local coordination efforts, and
- The percentage of the available funds to be allocated for the two incentive awards.

STATE BOARD POLICY AND PROCEDURES:

Brief Summary–Nontechnical Version:

This portion of the directive is for readers interested only in getting a quick nontechnical understanding of the Regional Collaboration and Local Coordination application process and funding criteria. For those interested in the technical details or whose level of work requires an in-depth knowledge and understanding, you may wish to skip this part and go directly to the High Level Detailed Summary section starting on the next page.

The State Board encourages LWIB(s) to partner with other agencies within their local area and also with other LWIBs to design and implement creative workforce investment strategies and programs to meet local and regional WIA needs. Local boards may submit applications for collaboration and coordination efforts that occurred during Program Year (PY) 2000-2001 and/or for efforts that have begun this current year. The applications are due no later than close of business on Monday, April 15, 2002. Upon receiving the application, a technical review team will evaluate the application following criteria listed in the Instructions and Forms Supplement.

For LWIBs that submit applications for collaboration or coordination efforts started during PY 2000-2001, results from the technical team review will be provided to State Board staff. Successful applications will be forwarded to the Employment Development Department (EDD) to calculate and distribute the appropriate incentive award amount to each of the LWIBs that were identified as co-partners in the application.

For LWIBs that submit applications for collaboration or coordination efforts that will be started or completed during PY 2001-2002, results will be provided to the State Board staff for consideration and if the application is approved, EDD will issue to each co-partner LWIB working capital which represents the State Boards' investment in the project. The LWIBs will be required to submit an end of the project detailed report which will be assessed and form the basis for determining the remaining or incremental incentive award amount. The State reserves the right to have the results verified before the final award is made.

For LWIBs that have not yet entered into collaborations that do not meet State Board criteria, may now elect to consider the now published State Board criteria as guidance for future incentive awards for collaboration or coordination efforts that address current unmet needs in an LWIB's region and local area.

High Level Detailed Summary:

The following is recommended reading for Local Workforce Investment Area (LWIA) staff with direct administrative and/or program responsibility for the Regional or Local application development, application submission, project operations, project reporting, fiscal accounting and other policy makers.

Definitions

Total formula allocation: *A LWIA's allocation of the state's allotment for the adult, dislocated worker, and youth funding streams.*

Proportionate share: *The total formula allocation of each local area receiving a regional or local incentive award divided by the total formula allocations of all the local areas receiving an award subject to the minimum and maximum awards.*

Minimum award: *No less than one percent of the total funds made available by the Governor for collaboration and coordination awards.*

Maximum award: *No more than ten percent of the total funds made available by the Governor for collaboration and coordination awards.*

Note: *The ten-percent award may be exceeded, at the discretion of the Governor or his designee, to recognize a project for exemplary collaboration/coordination efforts and project accomplishments.*

General

The EDD will accept applications for regional collaboration or local coordination implemented during PYs 2000-2001 and 2001-2002. The LWIBs may be a partner to one regional collaboration application and/or submit one local coordination application. However, an LWIB will be selected for an award in only one category. The Governor's 15 percent reserve projects and initiatives and federal solicitation for grant awards are not eligible for an award except to the extent that these undertakings are part of a greater collaboration/coordination effort by the region/local area.

Only applications that meet the State Board's criteria, which are embodied in the attached forms and instructions, will be accepted.

The LWIBs participating in regional activities must sign the application and the corresponding chief elected officials or their designees must accept financial responsibility for the incentive funds they receive. Two copies of a regional or local application with original signatures and four copies of the signed original must be submitted to the State. In the case of a regional application, only one LWIB needs to submit the required copies for the other LWIB partners.

Selection Process

A technical review panel will evaluate each application using the criteria listed in the Instructions and Forms Supplement. The panel will provide results and the recommended qualifying applicants for regional and local incentive awards to the State Board staff.

Incentive Award

Seventy percent (70%) of the funds reserved for incentive awards will be for regional collaboration and local coordination awards. The remaining 30 percent will be used for exemplary performance incentive awards. A separate directive will explain the exemplary performance incentive awards.

The maximum award for regional collaboration and local coordination will be ten percent of the available funds for collaboration and coordination. The minimum award will be one percent of the funds.

To determine the dollar amount of regional and local awards, the total formula allocation for each local area receiving an award is divided by the total formula allocations of all the local areas' receiving awards. The resulting percent is used to determine an area's proportionate share of the available incentive funds subject to the maximum and minimum awards.

The PY 2001-2002 regional collaboration or local coordination effort will be reviewed according to the State Board's evaluation criteria and successful applicants will receive up to 25 percent of its potential incentive award. The remaining incentives will be awarded quarterly or when agreed to benchmark performances are achieved by the LWIB. A comprehensive report detailing the LWIBs accomplishments will be required at the end of the project. The report must be provided to the EDD no later than 60 days from the end of the contract date. The State reserves the right to conduct an onsite review of the project and/or validation of the reported outcomes.

The LWIBs that submit applications for regional collaboration or local coordination implemented during PY 2000-2001 and have successfully satisfied the State Board evaluation criteria would be eligible to receive its proportionate share of the total incentive award once the State Board authorizes an award, and the proportionate share for each award has been determined. Applications for this portion of the incentive fund may begin immediately upon the effective date of this directive but no later than April 15, 2002.

Incentive grants may be used for any allowable WIA program or administrative activity. Participants served with a local area's incentive grant are subject to performance standards.

State Board Priorities

The State Board encourages local areas to submit regional collaboration or local coordination applications that support WIA activities including, but not limited to, the following:

- ***Increasing child care capacity; access to public transportation particularly in remote areas,***
- ***Recruiting additional non-mandatory partners who can make significant contributions in One-Stops centers, and***
- ***Resolving other WIA related issues through regional collaboration and local coordination.***

Additional information about the State Board's incentive policy is in the minutes of the Tuesday, June 26, 2001, State Board meeting.

INSTRUCTIONS AND FORMS SUPPLEMENT

All applications must adhere to a standard format and, in order to be competitive, must include all of the required information, completed forms, certifications/concurrence and assurances. The following are general instructions for completing the application narrative, and for the assembling the application package.

Application Format Requirements

The application must be submitted in accordance with the minimum requirements and in the format described below.

A. Minimum Requirements

- ***All attached forms must be completed.***
- ***The typewritten narrative is limited to fifteen (15) pages, 1½ spaced, in font size no smaller than 12. Supporting documents may be referenced and will not be considered as part of the 15 pages. Required forms are also not included in the 15-page limit for the narrative.***
- ***Submit a total of six (6) applications: two applications with original signatures and four copies.***
- ***Special bindings, report covers, or tabbed separators are not to be used.***

B. Contents

Refer to the instructions and Forms Supplement for line item instructions for completing the required forms of the application.

Applications shall contain the following documents in the following order:

- ***Cover page***
- ***Executive Summary***
- ***Check List***

- ***Funds Distribution (Regional Collaboration Applications ONLY)***
- ***Board Certification***
- ***Partner Concurrence (Local Coordination Applications ONLY)***
- ***Narrative***

C. The Narrative will include

- 1. A Socio-Economic Profile**
- 2. Unmet Needs**
- 3. Program Elements**
 - a. Comprehensiveness of Regional Collaboration/Local Coordination**
 - b. Scope of Effort**
 - c. Management**
 - d. Outcomes and Evaluation**

Applications must be sent to the addresses listed below (Where to Apply). The Workforce Investment Division (WID) will receive applications on the State Board's behalf. A postmark is not relevant to satisfying the deadline. Regardless of when they are postmarked, applications must be received by 5 p.m., Monday, April 15, 2002. There is no appeal for not meeting the closing date as specified. The WID will accept hand-delivered and courier-delivered applications between 8 a.m. and 5 p.m. daily, excluding Saturdays, Sundays and state holidays, up to the final filing date and time.

Late applications will not be accepted.

Where to Apply:

- Hand Delivered Applications
ATTN: Regional and Local Incentive Applications
Workforce investment Division
Employment Development Department
750 N Street, Park West Complex
Sacramento, CA 95814
- Mail Delivery
ATTN: Regional and Local Incentive Applications
Workforce Investment Division, MIC 69
Employment Development Department
P.O. Box 826880
Sacramento, CA 94280-0001
- Courier Service/Overnight Mail
ATTN: Regional and Local Incentive Applications
Workforce Investment Division, MIC 69
Employment Development Department
750 N Street
Sacramento, CA 95814

Due to the need for original signatures, applications may not be faxed, or electronically transmitted.

ACTION:

Bring this directive to the attention of affected staff.

INQUIRIES:

If you have any questions, please contact your [Regional Advisor](#).

/S/ BILL BURKE
Chief

Attachment is available on the Internet:

[WIA Regional and Local Incentive Awards Instructions and Forms Supplement](#) (DOC)